

Attorney Docket No. 9138-0060

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Group Art Unit: 1621

R. BRUCE DOAK
 DIRK C. JORDAN
 CHRISTOPHER T. BURNS

Serial No.: 09/887,777

Filed: June 22, 2001

Title: METHOD AND APPARATUS FOR
 NITRIDE SEMICONDUCTOR SURFACES

COPY OF PAPERS
 ORIGINALLY FILED

02411/02



**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION
 FILING DATE GRANTED UNDER 37 CFR §§ 1.53(d) AND 1.16(e)**

Box Missing Parts
 Commissioner for Patents and Trademarks
 Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Part of Application - Filing Date Granted dated August 21, 2001, Applicant encloses the following documents to complete the above-identified patent application filed June 22, 2001

1. Check in the amount of \$655.00 to cover the surcharge fee of \$65.00, the extension fee of \$460.00 and the petition fee of \$130.00.
2. Transmittal Form.
3. Fee Transmittal for FY 2002.
4. Copy of Notice to File Missing Parts of Application Filing Date Granted.
5. Petition for Extension of Time Under 37 CFR 1.136(a) plus 1 copy.

988813

008777-02402

Serial No.: 09/887,777

**Response to Notice to File Missing Parts of Application
Filing Date Granted Under 37 CFR §§ 1.53(d) and 1.16(e)**

6. Executed Combined Declaration and Power of Attorney.
7. Joint Inventors Declaration Re Nonsigning Inventor.
8. Petition to Prosecute Patent Application in the Absence of a Missing Inventor.
9. Two (2) formal drawings.
10. Postcard, postage prepaid, self-addressed, to confirm receipt.

The Commissioner is authorized to charge payment of any additional fees associated with this paper or credit any overpayment to Deposit Account No. 07-0135. A duplicate copy of this document is enclosed.

GALLAGHER & KENNEDY, P.A.

Dated: 1/22/02By: 

Thomas D. MacBlain, Reg. No. 24,583
2575 East Camelback Road
Phoenix, AZ 85016-9225
Telephone: (602) 530-8000

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this document (and any as referred to as being attached or enclosed) is being deposited with sufficient postage as first class mail with the United States Postal Service on January 22, 2002 and addressed to Box Missing Parts, Commissioner for Patents & Trademarks, Washington, D.C. 20231

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.


Cindy Guerrero, Legal Secretary

09/887,777-0210



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/887,777	06/22/2001	R. Bruce Doak	9138-60

Thomas D. MacBlain
Gallagher & Kennedy
2575 E. Camelback Road
Phoenix, AZ 85016



CONFIRMATION NO. 8709

FORMALITIES LETTER



OC000000006452543

Date Mailed: 08/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

COPY OF PAPERS
ORIGINALLY FILED

02/11/02

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - are not on the correct size paper (see 37 CFR 1.84(f)). The size of the sheets on which drawings are made must be either 21.0 cm. by 29.7 cm. (DIN size A4) or 21.6 cm. by 27.9 cm. (8 1/2 by 11 inches).

A copy of this notice **MUST** be returned with the reply.

GALLAGHER & KENNEDY
AUG 24 2001

03-21-2002 08:43

From-GALLAGHER & KENNEDY

+6025308500

T-722 P.019/019 F-645

RECEIPT ACKNOWLEDGED OF THE FOLLOWING DOCUMENTS
SENT JANUARY 22, 2002 VIA U.S. MAIL PURSUANT TO RULE 37
CFR 1.8

1. Response to Notice to File Missing Parts plus 1 copy,
2. Transmittal Form;
3. Fee Transmittal for FY 2002,
4. Petition for Extension of Time plus 1 copy,
5. Petition to Prosecute Patent Application in the Absence of a
Missing Inventor,
6. Copy of Notice to File Missing Parts,
7. Combined Declaration and Power of Attorney,
8. Joint Inventors Declaration Re Nonsigning Inventor,
9. Two (2) formal drawings,
10. Check in the amount of \$655.00, and
11. Postcard (addressed, stamped) to confirm receipt

Serial No. 09/887,777
Inventors: Doak, et al
TDM/9138-0060





UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, DC 20591
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No
09/887,777	06/22/2001	Doak, R	9138-60

Thomas D MacBlain
Gallagher & Kennedy
2575 E Camelback Road
Phoenix AZ 85016



Title: Method and apparatus for preparing nitride semiconductor surfaces

Date Mailed: 03/15/2002

Request for Substitute Papers

The papers filed on 02/11/02 (certificate of mailing dated 01/22/02) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated **703-746-4060(OIPE)**.

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO **strongly** prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within **two (2) weeks** of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. **A copy of this notice should be included with the reply.**

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: Thomas D. MacBlain Registration No. 24,583
Signature: [Handwritten Signature] Date: 3/20/02

03-21-2002 08:37

From-GALLAGHER & KENNEDY

+6025308500

T-722 P.001/019 F-645

GALLAGHER & KENNEDY

A PROFESSIONAL ASSOCIATION
LAW OFFICES



FACSIMILE TRANSMITTAL

To: OIPE

2575 EAST CAMELBACK ROAD

COMPANY: U.S. PATENT & TRADEMARK OFFICE

PHOENIX, ARIZONA 85016-9225

FAX NUMBER: 703-746-4060

PHONE (602) 530-8000

VOICE NUMBER: VOICE NUMBER

FAX (602) 530-8500

WWW.GKNET.COM

FROM: THOMAS D. MACBLAIN

G & K DIRECT LINE: (602) 530-8088

G&K

DATE: MARCH 21, 2002

CLIENT NUMBER: 9138-0060

IF YOU DID NOT RECEIVE ALL OF
THE PAGES, OR HAVE ANY
PROBLEMS, PLEASE CALL (602)
530-8534

NO OF PAGES: 19 INCLUDING COVER SHEET

THIS FAX WILL ☐ WILL NOT ☒ BE MAILED

COMMENTS:

RESPONSE TO REQUEST FOR SUBSTITUTE PAPERS FOR APPLICATION NUMBER 09/877,777 FILED 6/22/01 FOR "METHOD AND APPARATUS FOR PREPARING NITRIDE SEMICONDUCTOR SURFACES" BY DOAK ET AL

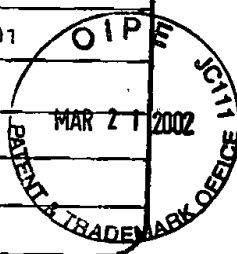
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#3

PTO/SB/21 (08-00)
 Approved for use through 10/31/2002 OMB 0651-0031
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p>	Application Number	09/887,777	
	Filing Date	06/22/2001	
	First Named Inventor	R. Bruce Doak	
	Group Art Unit	1621	
	Examiner Name		
Total Number of Pages in This Submission	1	Attorney Docket Number	9138-0060



ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Joint Inv. Dec. Re Nonsigning Inventor
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or individual name	Thomas D. MacBlain, Reg. No. 24,853 Gallagher & Kennedy, P.A.
Signature	<i>[Signature]</i>
Date	1/22/02

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 1-22-02			
Typed or printed name	Suzie Shields		
Signature	<i>[Signature]</i>	Date	1-22-02

Burden Hour Statement: This form is estimated to take 2/2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

03-21-2002 08:39

From-GALLAGHER & KENNEDY

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T-722 P.006/019 F-645

PTO/SB/17 (10-01)

Approved for use through 10/31/2002 OMB 0651-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

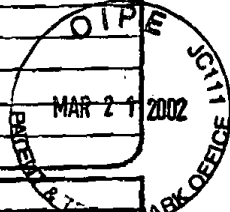
**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 655.00

Complete if Known

Application Number	09/887,777
Filing Date	06/22/2001
First Named Inventor	R. Bruce Daak
Examiner Name	
Group Art Unit	1621
Attorney Docket No.	9138-0060



METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 07-0735
Deposit Account Name: Gallagher & Kennedy, P.A.

- ☒ Charge Any Additional Fee Required under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status. See 37 CFR 1.21

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims: -20** = X =
Independent Claims: -3** = X =
Multiple Dependent: =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 64	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claims, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 520*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	460.00
118 1,440	218 720	Extension for reply within fourth month	
128 1,980	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	130.00
122 130	123 130	Petitions to the Commissioner:	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
148 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify):

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 655.00

SUBMITTED BY

Name (Print/Type) Thomas D. MacBlain

Registration No. 24,583

Complete if applicable

Telephone 602-530-8088

Signature

Date

1/22/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO 2038.

Burden hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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